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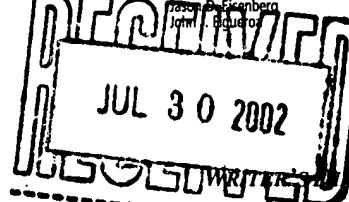
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•Practice Limited to  
Federal Agencies

July 24, 2002



Commissioner for Patents  
Washington, D.C. 20231

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JUL 26 2002

Technology Center 2600

Re: U.S. Utility Patent Application  
Appl. No. 09/844,283; Filed: April 30, 2001  
For: **Methods and Systems for Adaptive Receiver Equalization**  
Inventors: **BUCHWALD et al.**  
Our Ref: 1875.0560003

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Information Disclosure Statement;
2. A listing of the cited documents on Form PTO-1449 (*2 pages*);
3. Copies of the cited documents (AA1-AE1; AL1-AO1; AR1-AT1; AR2); and
4. One (1) return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

Commissioner for Patents  
July 24, 2002  
Page 2

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Albert J. Fasulo, II  
Attorney for Applicants  
Registration No. 43,607

RES/PEG:ddc  
Enclosures

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

BUCHWALD *et al.*

Appl. No. 09/844,283

Filed: April 30, 2001

For: **Methods and Systems for  
Adaptive Receiver Equalization**

Confirmation No. 1013

Art Unit: 2631

Examiner: (To Be Assigned)

Atty. Docket: 1875.0560003

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**Information Disclosure Statement**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- 1. This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.
- 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
  - a. I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
  - b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

- c. Attached is our Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).
- 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:
  - a. I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
  - b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- 4. Documents AA1-AE1, AL1-AO1, AS1-AT1 and AR2 were cited in search reports by a foreign patent office in counterpart foreign applications. Submission of an English language version of the search reports that indicates the degree of relevance found by the foreign office are provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.
- 5. A concise explanation of the relevance of the non-English language document(s) appears below:
- 6. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Albert J. Fasulo, II  
Attorney for Applicants  
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Date: July 24, 2002

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FORM PTO-1449 <b>INFORMATION DISCLOSURE STATEMENT</b>			ATTY. DOCKET NO. 1875.0560003		APPLICATION NO. 09/844,283		
			APPLICANT Buchwald et al.				
			FILING DATE April 30, 2001		GROUP 2631		
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
AA1		5,485,490	01/1996	Leung et al.	375	371	
AB1		5,650,954	07/1997	Minuhin	364	825	
AC1		5,881,108	03/1999	Herzberg et al.	375	296	
AD1		5,966,415	10/1999	Bliss et al.	375	350	
AE1		6,002,279	12/1999	Evans et al.	327	141	
AF1							<b>RECEIVED</b>
AG1							JUL 26 2002
AH1							
AI1							
AJ1							
AK1							
<b>FOREIGN PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
AL1		0 483 439	05/1992	PCT	H04L	25/03	Yes No
AM1		EP 0 515 074	11/1992	PCT	H03L	7/099	Yes No
AN1		EP 0 805 447 A2	11/1997	PCT	G11B	20/10	Yes No
AO1		EP 0 909 035	04/1999	PCT	H03L	7/08	Yes No
AP1							Yes No
<b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
AR	1	Buchwald, A. and Martin, K., "Integrated Fiber-Optic Receivers," Kluwer Academic Publishers, 1994 (entire book submitted).					
AS	1	Sidiropoulos, S. and Horowitz, M., "A Semidigital Dual Delay-Locked Loop," IEEE Journal of Solid-State Circuits, IEEE, Vol. 32, No. 11, November 1997, pp. 1683-1692.					
AT	1	Copy of International Search Report issued January 24, 2002, for Appln. No. PCT/US01/13613, 7 pages.					
EXAMINER					DATE CONSIDERED		
<b>EXAMINER:</b> Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.							



Page 2 of 2

FORM PTO-1449 <u>INFORMATION DISCLOSURE STATEMENT</u>		ATTY. DOCKET NO. 1875.0560003	APPLICATION NO. 09/844,283
		APPLICANT Buchwald et al.	
		FILING DATE April 30, 2001	GROUP 2631

**U. S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA2						
	AB2						
	AC2						
	AD2						
	AE2						
	AF2						
	AG2						
	AH2						
	AI2						
	AJ2						
	AK2						

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**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL2						Yes No
	AM2						Yes No
	AN2						Yes No
	AO2						Yes No
	AP2						Yes No

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

AR	2	Copy of International Search Report issued April 11, 2002, for Appln. No. PCT/US01/13637, 2 pages.
AS	2	
AT	2	

EXAMINER	DATE CONSIDERED
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**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.